

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Hendrikus Jan KAPAAN et al.

Application No.: 09/937,776

Group Art Unit: 3682

Filed: October 12, 2001

Docket No.: 110748

For: ACTUATOR HAVING COMPACT GEAR REDUCTION

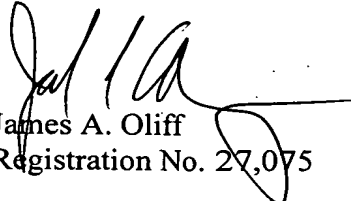
SUBMISSION OF ORIGINAL DECLARATION

Director of the U.S. Patent and Trademark Office
Washington, D.C. 20231

Sir:

Submitted herewith is the original signed Declaration of the Inventor. This Declaration corresponds to the facsimile copy of the Declaration filed on October 12, 2001.

Respectfully submitted,


James A. Oliff
Registration No. 27,075

Joel S. Armstrong
Registration No. 36,430

JAO:JSA/cmm

Date: December 28, 2001

OLIFF & BERRIDGE, PLC
P.O. Box 19928
Alexandria, Virginia 22320
Telephone: (703) 836-6400

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of
Hendrikus Jan KAPAAN et al.

ATTN: PCT Branch

Application No.: 09/937,776

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For: ACTUATOR HAVING COMPACT GEAR REDUCTION

RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTSUNDER 35 U.S.C 371 IN THE UNITED STATESDESIGNATED/ELECTED OFFICE (DO/EO/US)DECLARATION ALREADY FILEDRECEIVED
JAN 08 2002
GROUP 3600

Director of the U.S. Patent and Trademark Office
Washington, D.C. 20231

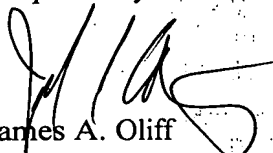
Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US) (copy attached) mailed on November 5, 2001, the executed Declaration of the inventors was filed on October 12, 2001. A copy of the executed Declaration as filed, a copy of the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371, and a copy of the stamped postcard receipt are attached hereto. The surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)) was also paid on October 12, 2001 with our Check No. 123784 for 130.00.

Entry of these documents on October 12, 2001 should have completed all of the filing formalities. Accordingly, prompt issuance of a Notification of Acceptance and Filing Receipt, and prompt examination and allowance of this application are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461.

Respectfully submitted,


James A. Oliff
Registration No. 27,075

Joel S. Armstrong
Registration No. 36,430

JAO:JSA/cmm

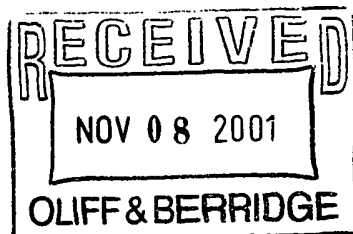
Date: December 28, 2001

OLIFF & BERRIDGE, PLC
P.O. Box 19928
Alexandria, Virginia 22320
Telephone: (703) 836-6400

DEPOSIT ACCOUNT USE
AUTHORIZATION
Please grant any extension
necessary for entry;
Charge any fee due to our
Deposit Account No. 15-0461

U.S. APPLICATION NUMBER NO.			FIRST NAMED APPLICANT			ATTY. DOCKET NO.		
09/937,776			Hendrikus Jan Kapaan			110748		

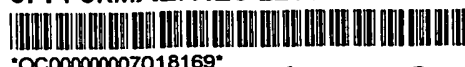
Oliff & Berridge
P.O. Box 19928
Alexandria, VA 22320



INTERNATIONAL APPLICATION NO.	
PCT/NL00/00227	
1A FILING DATE	PRIORITY DATE
04/06/2000	04/06/1999

CONFIRMATION NO. 7096

371 FORMALITIES LETTER



OC00000007018169

January 5, 2002
Mining Patents

Date Mailed: 11/05/2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Priority Document
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Preliminary Amendments
- Request for Immediate Examination

DOCKETED
By *Rew* on *11/8* 2001
By *MPA* and on *11/8* 2001
Oliff & Berridge

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

FRANCINE YOUNG

Telephone: (703) 305-3662

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/937,776	PCT/NL00/00227	110748

COMBINED DECLARATION AND POWER OF ATTORNEY

(ORIGINAL DESIGN, NATIONAL STAGE OF PCT OR CIP APPLICATION)

As a below named inventor, I hereby declare that

My residence, post office address and citizenship are as stated below next to my name, I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Actuator having compact bearing reduction

the specification of which: (complete (a), (b) or (c) for type of application)

REGULAR OR DESIGN APPLICATION

a. ☐ is attached hereto.

b. ☐ was filed on
Serial No.

(if applicable)

as Application
and was amended on

PCT FILED APPLICATION ENTERING NATIONAL STAGE

c. ☒ was described and claimed in International application No. PCT/NL00/00227
filed on 6 April 2000
and as amended on

(if any)

ACKNOWLEDGEMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, paragraph 1.56(a).

In compliance with this duty there is attached an information
disclosure statement 37 CFR 1.97

PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code paragraph 119 of any foreign application (s) for patent of inventor's certificate listed below and have also identified below any foreign application for patent of inventor's certificate having a filing date before that of the application on which priority is claimed.

- d. [] no such applications have been filed
e. [X] such applications have been filed as follows

**EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO SAID APPLICATION**

Country	Application Number	Date of filing (day, month, year)	Date of Issue (day, month, year)	Priority claimed
the Netherlands	101 1731	6 April 1999		Yes

**ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO SAID APPLICATION**

CONTINUATION-IN-PART

(Complete this part only if this is a continuation-in-part application)

I hereby declare claim the benefit under Title 35, United States code, paragraph 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claim of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, paragraph 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, paragraph 1.56(e) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.) (Filing date) (Status) (patented, pending, abandoned)

(Application Serial No.) (Filing date) (Status) (patented, pending, abandoned)

POWER OF ATTORNEY

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned, the above-noted Applicant, hereby revoke all previous powers of attorney and appoint the following as attorneys of record with full power of substitution and revocation to prosecute this patent application and all continuations and divisions thereof, and to transact all business in the Patent and Trademark Office:

James A. Oliff, Registration No. 27,076;
William P. Berridge, Registration No. 30,024;
Kirk M. Hudson, Registration No. 27,562;
Thomas J. Pardini, Registration No. 30,411; and
Edward P. Walker, Registration No. 31,4500.

ALL CORRESPONDENCE IN CONNECTION WITH APPLICATION SHOULD BE SENT TO OLIFF & BERRIDGE, P.O. BOX 19928, ALEXANDRIA, VIRGINIA 22320, TELEPHONE: (703) 836-5600.

statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like s made are punishable by fine r imprisonment, or both under Section 1001 of Title 18 of the United States Code and that such wilful false statements may jeopardize the validity of the application r any patent issued thereon.

Full name of sole or first inventor: **KAPAAN, Hendriku Jan**

Inventor's signature



Date 8 October 2001

Country of Citizenship: the Netherlands

Residence: Nieuwegein, the Netherlands

Post Office Address: Waterhoen 5, NL-3435 DM NIEUWEGEIN, the Netherlands

Full name of second inventor: **ZWARTS, Jacobus**

Inventor's signature



Date 8 October 2001

Country of Citizenship: the Netherlands

Residence: Nieuwegein, the Netherlands

Post Office Address: Carmenlaan 5, NL-3438 VA NIEUWEGEIN, the Netherlands

Full name of third inventor: **BROERSEN, Simon Jan**

Inventor's signature



Date 8 October 2001

Country of Citizenship: the Netherlands

Residence: Nieuwegein, the Netherlands

Post Office Address: Lichtegaarde 41, NL-3436 ZS NIEUWEGEIN, the Netherlands

CHECK PROPER BOX(ES) FOR ANY ADDED PAGE(S) FORMING A PART OF THIS DECLARATION

**TRANSMITTAL LETTER TO THE
UNITED STATES
DESIGNATED/ELECTED OFFICE
(DO/EO/US) CONCERNING A FILING
UNDER 35 U.S.C. 371**

U.S. APPLICATION NO.
(if known, sec 37 C.F.R.1.5)INTERNATIONAL APPLICATION NO.
PCT/NL00/00227INTERNATIONAL FILING DATE
April 6, 2000PRIORITY DATE CLAIMED
April 6, 1999TITLE OF INVENTION
ACTUATOR HAVING COMPACT GEAR REDUCTIONAPPLICANTS FOR DO/EO/US
Hendrikus Jan KAPAAN et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventors (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ Entitlement to small entity status is hereby asserted.
16. ☐ Other items or information:

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

INTERNATIONAL APPLICATION NO.
PCT/NL00/00227

ATTORNEY'S DOCKET NUMBER
110748

17. ☒ The following fees are submitted:

Basic National fee (37 CFR 1.492(a)(1)-(5)):

Search Report has been prepared by the EPO or JPO\$890.00

International preliminary examination fee paid to USPTO
(37 CFR 1.482)\$710.00

No international preliminary examination fee paid to USPTO
(37 CFR 1.482) but international search fee paid to USPTO
(37 CFR 1.445(a)(2))\$740.00

Neither international preliminary examination fee (37 CFR
1.482) nor international search fee (37 CFR 1.445(a)(2))
paid to USPTO\$1,040.00

International preliminary examination fee paid to USPTO
(37 CFR 1.482) and all claims satisfied provisions of PCT
Article 33(2)-(4)\$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$

Surcharge of \$130.00 for furnishing the oath or declaration later than
☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR
1.492(e)).

\$130.00

Claims	Number Filed	Number Extra	Rate
Total Claims	- 20 =		X \$ 18.00
Independent Claims	- 3 =		X \$ 84.00
Multiple dependent claim(s)(if applicable)			+ \$280.00

\$

TOTAL OF ABOVE CALCULATIONS =

\$130.00

Reduction by 1/2 for filing by small entity, if applicable.

\$

SUBTOTAL =

\$130.00

Processing fee of \$130.00 for furnishing the English translation later
than ☐ 20 ☐ 30 month from the earliest claimed priority date (37 CFR
1.492(f)).

\$

TOTAL NATIONAL FEE =

\$130.00

Amount to be
refunded

\$

Charged

\$

- a. ☒ Check No. 123784 in the amount of \$130.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 15-0461. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

OLIFF & BERRIDGE, PLC
P.O. Box 19928
Alexandria, Virginia 22320

NAME: James A. Oliff
REGISTRATION NUMBER: 27,075

Date: October 12, 2001

NAME: Joel S. Armstrong
REGISTRATION NUMBER: 36,430

PTO RECEIPT FOR FILING OF PAPERS

The following papers have been filed:

PCT Trans. Ltr. & Ck 123784 \$130, Decl., Asgn. Trans. Ltr. & Ck 123783 \$40, Assign.

Name of Applicant: Hendrikus Jan KAPAAN et al.

Serial No.: U.S. National Stage of PCT/NL00/00227

Atty. File No.: 110748

Title (New Cases):

Sender's Initials: JAO/cmm

90/3

PATENT OFFICE DATE STAMP



**COPY TO BE STAMPED BY PATENT OFFICE
AND RETURNED BY MESSENGER**